University of California, Irvine
Department of Special Collections and Archives

# Accessioning Manual for Archival and Manuscript Collections

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# 1. Accompanying Documentation

The following manuals are referred to in these instructions and should be consulted when accessioning:

- Archivists' Toolkit (AT) *User Manual* (Read chapters 3, 7, 9, 11 and 12)
- *Describing Archives: A Content Standard* (*DACS*) Second Edition
- *Guidelines for Efficient Archival Processing in the University of California Libraries*
- UCI Libraries Department of Special Collections and Archives *Processing Manual*

# 2. Overview

An accession is a "batch" of materials that comes into the custody of the Department of Special Collections and Archives (SCA). The materials in a given accession will have in common their provenance -- their origin, or source. They have been created and/or collected by a given entity -- such as a person, family, organization, administrative unit of the university, etc. -- in the course of that entity's performance of its activities or functions.

One or more accessions comprise a collection.

# 3. Goals of Accessioning

- Record and document basic information about the accession
- Ensure that housings meet basic standards for cleanliness and safety of materials
- Shelve the collection
- Record the location of all materials
- Reveal to the general public, through a new or updated finding aid, basic information about the new materials.
- Determine whether a collection can be processed while being accessioned.

# 4. Responsibilities of the Archivist/Department Head

## 4.1. Documentation

When new materials arrive in the department, the archivist is responsible for creating collections files and (when appropriate) assigning new collection numbers. If the head of SCA is the person who made the arrangements to acquire new materials, s/he should provide the archivist with all relevant documentation for the file, including:

- Deed of Gift
- correspondence
- donor contact information

- preliminary inventory
- curator's notes

## 4.2. Other information

Any other information that would be relevant to accessioning should also be provided to the archivist, including:

- whether it is a new collection or addition to an existing collection
- collection number or collecting area (see Section 4.2.1 of this manual)
- significance of collection
- known or potential preservation problems
- known or potential access restrictions
- whether the collection can be used before it is processed
- priority for processing
- date of donation
- materials that have been separated

If the archivist is not the person doing the accessioning, s/he should pass along this information to the accessioner.

### 4.2.1. Assigning new collection numbers

If the accession comprises a *new collection*, a collection number will need to be assigned. Collection numbers are formatted by collecting area code, a period, and three-digit number (example: MS.C.001). Use the table below to assign the leading collecting area code. To find the next available number, sort the list in the AT resource module by resource identifier.

| Collecting Area Code | Collecting Area Description |
|---|---|
| AS | University Special Collections and Archives |
| MS.C | Critical Theory Manuscripts |
| MS.F | Faculty Manuscripts |
| MS.L | Literary Manuscripts |
| MS.P | Performing Arts Manuscripts |
| MS.R | Regional Manuscripts |
| MS.M | Miscellaneous Manuscripts |
| MS.SEA | Southeast Asian Collection Manuscripts |
| PS | University Special Collections and Archives Publications |

Table: Collecting Area Codes

(Note: UCI faculty should only be designated as MS.F if they do not fit into another collecting area, such as MS.C or MS.P.)

#### 4.2.2. Creating collection files

Collection files are stored in letter-size hanging folders in the tan filing cabinets in LL 500. When creating a new collection file, write the collection number on the tab of the hanging folder. Place a letter-size acid-free folder in the hanging folder and label it "Basic Documents," writing the collection number and title in the upper left-hand corner. Include the Deed of Gift agreement and accession record(s) in this folder and any other documentation regarding the donor or creator that is not part of the collection (*refer to the bulleted list above*). This can include correspondence with the repository, secondary source materials about the creator, legacy inventories, etc. Large accumulations of a particular type of document (e.g. correspondence) may be placed in separate folders within the collection file. Be sure to clearly label each new folder.

In addition to the physical collection files, SCA also maintains electronic collection files on the V:\ drive under ms-as collections, sub-filed by collecting area. If it is a new collection, label the folder as follows: collecting area code and collection number _underscore_ creator or subject name (example: C001_Derrida). File electronic versions of the accession record(s) and accession checklist(s) here, as well as any pertinent correspondence regarding the collection conducted via e-mail. Save e-mail messages as text files to ensure their longevity. As with the physical collection file, label sub-folders accordingly.

## 5. Create Accession Record

### 5.1. Determine the accession number

If the archivist has not already started an accession record in AT, use the next available accession number. To find the next available number, sort the list in the accession module by accession number. Accession numbers are comprised of the 4-digit year (yyyy) and the next available number in numerical sequence.

### 5.2. Enter data about the accession

Some data can be filled in right away, some will be filled in as materials are re-boxed and foldered, and some will be filled in when the re-housing process has been completed.

*Before beginning to fill in information*, read Section 7 of this manual and Section 5.2 of the *Processing Manual*, which includes information about re-boxing, re-housing and handling of materials during accessioning.

The following list indicates which fields are required in each of the AT tabs. Keep in mind that these fields will not be necessarily completed in this order, but will be filled in as the data is gathered.

### 5.2.1. Basic Information Tab

- **Resources linked to this accession:** Link to existing collection (if this accession is an addition to an already-existing collection) or, *when finished accessioning*, use the accession record to create new resource (Link Resource → Create Resource).

- **Date accessioned**: In format yyyy/mm/dd.

- **Title:** Use *DACS*-compliant title. See *Processing Manual* Sections 6.1 and 7.3.1 and/or *DACS* Chapter 2.3.

- **Extent:** The number of linear feet upon completion of accessioning. See the *Processing Manual* Section 12.2 Appendix B: Measuring Collections.

- **Container summary:** The number of boxes and oversize folders when re-housing is finished. Do not indicate box type, but do indicate number of oversize folders that were created. Put this information in parentheses. For example:

  **(6 boxes and 1 oversize folder)**

- **Date:** When inventory is complete, you will have a good idea of the date range. Use bulk dates if helpful and relevant. Use date expression for undated or circa dates if necessary. See the *Processing Manual* Sections 6.2 and 7.3.2 for more information about dates.

### 5.2.2. Accession Notes Tab

- **Acquisition type:** Indicate "Gift" (or, occasionally, "Purchase") for manuscript (MS) collections. Indicate "Transfer" for university archives (AS) records.

- **Description:** Include one or two sentences about the creator that would provide context for the materials. Also include one or two sentences (or more if necessary) about the content and form of the materials. Example:

  **Frank Cancian is a professor of anthropology at the University of California, Irvine. The materials in this [collection or addition to the collection] focus mainly on Cancian's anthropological study of Mayan culture. Included are field notes, field interviews, diaries, research notes, and background research materials.**

- **Condition:** Include information about the physical condition of the materials, such as whether paper is brittle or torn, whether rusty paper clips are present, whether magnetic media are deteriorating, and any other concerns. Also include any preservation actions taken, such as the removal of rubber bands. *Notify the archivist if you encounter serious ongoing preservation concerns such as bugs or mold.*

- **Inventory:** Include a box-by-box listing of types of materials, along with dates. This does not need to be a folder-level listing, but it may include lists of materials in the order they can be found in the box.

  Example 1:

  ```
  Box 1 (1978-1981, 1990-1998)
  minutes, correspondence, and other materials, 1990-1998
  correspondence, 1979
  newsletters and handouts, 1978-1979
  attendance sheets, 1978-1980
  ```

  Example 2:

  ```
  Box 5 (1984-1990)
  minutes, correspondence, and other materials
  ```

  Example 3:

  ```
  Box 1, (circa 1996-2001)
  program files
  correspondence
  meeting notes
  press releases
  directors' statements, mission statements
  ```

- **Disposition Note:** Include a list of any materials removed from the accession and what was done with them, such as whether they were disposed of, returned to the donor, or books cataloged separately in ANTPAC. This need not be an item-by item list. *Note: Archivist must approve disposal of any materials after examining the Deed of Gift.*

### 5.2.3. User Defined Fields Tab

- **Date Received:** Include the date materials came into the possession of the department of SCA. Date may have to be estimated. If you just know the month and year, indicate the date as the first of the month. If you just know the year, use January 1.

- **New Collection?** Check if the accession forms a new collection. Leave blank if the accession is linked to an already-existing collection.

- **Accessioned By:** Include the first and last name of the person doing the accessioning.

- **Donor Information:** Record pertinent details regarding the donor or donation process that are not included in another field, such as contact information.

- **Special formats:** List the types of formats that are not normal-sized and paper based. Special formats include audiovisual formats (list type such as reel tapes, cassette tapes, VHS, etc.), maps, posters, and digital media types such as CDs and DVDs.

### 5.2.4. Names & Subjects Tab

Link to the name of the creator (choosing "Creator" from the function drop-down box) and to the name of the source who transferred or donated the materials (choosing "Source" from the function drop-down box). This is often the same person/entity, in which case the name will appear twice.

For accessions representing new collections, it is likely you will not find the name of the creator/source in our AT Names module. In this case, if you have been trained to create name records, do so. Otherwise, use the **Name and Subject Decisions When Using the Archivists' Toolkit** document on the V:\ drive to help make recommendations for names and subjects in the record. When the cataloger reviews the minimal or updated *DACS* record for the collection in AT, he or she will review, edit, and finalize all names and subjects.

### 5.2.5. Acknowledgements, Restrictions & Processing Tasks Tab

- **Acknowledgment Letter Sent to Donor/Date (checkbox and note):** For each accession (except university archives), the Head of Special Collections and Archives does the following:

    - Send letter to the donor acknowledging the gift and thanking them.

    - Deposit the electronic copy of the letter in **V:\ms-as_documentation\Deeds of Gift\Donor Documentation\Letters to donors**. Additionally, print out a copy and place it in the paper donor file.

    - Send the library development officer (at the time of this writing, Julie Sully) a copy of the acknowledgment letter along with information about any donations. (An "accession receipt" report can be generated from the accession record for this purpose.) These documents are sent to the development officer as email attachments.

  It is then the archivist's responsibility to make sure the Deed of Gift and acknowledgement letter are filed in the collection file.

Check this box if an acknowledgement letter was sent to the donor and record the date.

***Note about writing to donors:** It is only necessary to send an acknowledgement letter when receiving a first-time donation to the archives. If the accession is an accrual to an existing collection, a letter is not necessary.

- **Gift Agreement Sent to Donor/Date (checkbox and note):** This refers to the Deed of Gift agreement. Information about this is in the collections file or from the archivist or SCA department head. (Not applicable to university archives). Check this box if a gift agreement is in the collection file. If known, record the date the agreement was sent to the donor.

- **Gift Agreement Received from Donor/Date (checkbox and note):** Check this box if a Deed of Gift agreement was received from the donor and record the date s/he signed the document.

- **Restrictions Apply (checkbox):** Check this box if there are either use or access restrictions.

- **Access Restrictions (checkbox and note):** Use this if it is known or suspected that there are materials in the collection that should not be made available for research. Also indicate if there are no restrictions, or if the status of restricted items is unknown and requires further review.

  Examples of restricted materials include: student records, medical records, documents listing Social Security numbers, archival original media (including photographic negatives, audio or video recordings, and disk media), or any materials named in the gift agreement as restricted to use for a period of time. **Refer to Section 7.5.2.4 of the *Processing Manual* for creating access statements.**

  ***Please note***: Your preliminary assessment and analysis of the collection during accessioning is *imperative* to providing accurate information about restricted items. Because accession records become publicly searchable finding aids for unprocessed or semi-processed collections, the access restrictions note provides valuable information for public services staff and the archivist when providing access to accessions, unprocessed, and minimally processed collections. For further information, please consult the ***Policies and Procedures for Providing Access to Accessions, Unprocessed, and Minimally Processed Collections*** document on the V:\ drive.

- **Use Restrictions (checkbox and note):** Use this if there are any restrictions on copying materials in the collection. See Deed of Gift. *(Note: If the collection includes any materials authored by Jacques Derrida, these may not be copied.)*

- **Processing Priority:** Assign a value score between 4 and 20 from the drop-down list to indicate processing priority. See Section 13 of this manual for instructions on assigning value scores to accessions.

- **Processing Plan:** Using the chart in Section 13.2 of this manual, list the levels of effort or control corresponding with the processing priority value score. Cut-and-paste these levels directly from the chart. This will guide the processor in the development of a processing plan.

  Example:

  ```
  Minimal effort | Collection level
  Low effort processing | Series or subseries level
  ```

  To communicate the rationale behind the selected value score to the processor, itemize the value assigned for each component.

  Example:

  ```
  Value Score:
  User Interest = Slight (2)
  Research Value = Limited (2)
  Institutional Value = Moderate (3)
  Object Value = Negligible (1)
  ```

  A brief narrative summary of the rationale may also be provided if it would prove helpful to the processor.

  Additionally, use this field if there are any issues that arise during donor negotiations or accessioning that should be known to those processing the materials.

- **Processing Status:** Choose "Unprocessed" from drop-down list.

## 6. Accessioning as Processing

You may notice that the accession is small enough or organized enough that, with just a bit more work, the collection could be considered processed. Typically, accessions of 1 linear foot or less are good candidates for accessioning as processing, particularly those that are being added to processed collections. See Section 13.2.1 of this manual, or consult with the archivist, to determine whether the new accession is a good candidate for accessioning as processing.

**Important:** You do not need to assign a value score when performing accessioning as processing. Write "Processed during accessioning" in the Processing Plan field of the

accession record's Acknowledgements, Restrictions & Processing Tasks tab. Be sure to write your name in the Processors field and choose "Processed" from the Processing Status drop-down list. You can also check the box marked "Processed" and add the date of processing completion.

# 7. Re-Box and Shelve the Accession

## 7.1. Re-boxing and re-housing

- Keep materials in their original order
- Compress materials to use as little space as possible.
- Take materials out of binders, unless the binders have object value (refer to Section 13.1 of this manual).
- Remove materials the archivist has instructed will be separated. The archivist will determine the disposition of the removed materials upon examination of the Deed of Gift.
- Duplicates should generally not be weeded during accessioning, especially if the accession is large (i.e. multiple record cartons). Duplicates may be removed if duplication is not excessive and weeding would require little time and effort.
    - Do not discard duplicates without consulting the archivist. They may be retained for exhibition or donated to other repositories.
- Stabilize materials:
    - Make sure all paper materials are in folders, either in their original folders or in scrap archival folders. Folder or re-folder items only if necessary to safely box them. Loose papers should generally be foldered. If existing labels are insecure, clip or staple them to folders rather than foldering.
    - Folders *must* be packed tightly enough to prevent folders/papers from slouching. Use a box spacer if necessary. Even a few weeks of slouching will cause paper to permanently bend.
    - Use folder score lines to square the bottom of each folder to fit documents taking up more than ¼" in each folder. Do not fill letter and legal-sized folders over ¾" full.
    - Accessions will either be stored in boxes, flat box folders, XOS (map case) folders, or a mix of these.
    - In general, transfer to archival boxes in order to reduce or eliminate possible vermin and to safely store materials. Maintain existing containers only if they are clean (and apparently vermin free), strong, have covers, and are in sizes that fit our shelving.
    - If taking any obvious and quick measures would significantly reduce the linear footage (e.g., removing binders and foldering items), please do so.

- When the collection has been housed in appropriate containers, calculate linear footage from measurements listed in Appendix B in the *Processing Manual*. Fill in extent in linear footage and container summary on the Basic Information tab in the AT accession record.
    - For accessions that are integrated within the existing collection housing due to negligible size (e.g. smaller than a half document box) or processing during accessioning, record the extent as 0.1 linear feet. Note the number of items and folders in the container summary and (if applicable) indicate that the materials were integrated.

      Example 1:

      **(1 folder) Materials were integrated with existing collection and do not occupy additional space.**

      Example 2:

      **(1 oversize folder) The bulk of the materials were physically integrated with the existing collection and do not occupy additional space. One oversize folder was added to the collection extent.**

      Example 3:

      **(1 audiocassette) Housed in accn 2006.007 Box 15.**

- Print labels for each box using the box label templates on the V:\ drive. Label each container with collection name and number, accession number, and box number.
- Shelve accession boxes in stacks. Store oversize accession material in flat box folders in flat boxes. If oversize accession materials in flat box folders do not fill up a single flat box, store these flat box folders in existing flat boxes (i.e., flat boxes in MS stacks that have already been assigned flat box number). **Very important:** *Record the flat box number and folder number in the inventory field in the Accession Notes tab in the AT accession record.*
- Store XOS folders in map case(s).
- Write down location codes on boxes (including new flat boxes used to store flat box folders).

## 7.2. Update the stacks locator

Go to http://spcoll.lib.uci.edu/ (password protected; use UCInet ID and password).

- Click on "Edit Stacks."

- *For new collections,* click "Add New Collection." Fill out "Collection Title," "Collection Number," "Box number," and location. If accession "accn2006-001" has 1 box, the box number will be "accn2006-001 001." If it has 2, the box number will be "accn2006-001 002," etc.
- *For additions to existing collections*, click "Add to a Collection." Type in existing collection number. The screen will then prompt you to add a box to that collection. Type in new box number and location.

### 7.3. Print out and file the accession record

- Using the “Reports” button, print out the accession record.
- *For new collections*, create a green hanging folder for the collection in the filing cabinet and a "Basic Documents" folder therein. See Section 4.2.1 of this manual for guidance.
- *For additions to existing collections,* find the collection file and add the accession form to the existing ones in the "Basic Documents" folder. Multiple accession forms within one collection file should be clipped together with the most recent on top.

## 8. Single-Level Minimum *DACS* Finding Aids for the Collection

**Note:** If the accession is an addition to an *existing* collection, see Section 10 or 11 of this manual. If the accession has a nonstandard finding aid or other inventory and is *not* an addition to an existing collection, see Section 9.

The following instructions should be read in conjunction with Section 7.5.1 of the *Processing Manual* in order to create a finding aid with notes in the correct order. Be sure to use the prescribed label for each note.

### 8.1. Enhance the records

After accessioning materials, create a resource record for the collection. See the *AT User Manual* chapters 7 and 9 for more information about creating resource records. For new collections, follow *DACS* guidelines (detailed below, with *DACS* reference numbers) for single-level minimum records and input the following information into the AT resource record in order to create a brief but compliant finding aid.

#### 8.1.1. Reference Code Element (2.1)

Already in the record as Resource Identifier.

#### 8.1.2. Name and Location of Repository Element (2.2)

Already loaded into "repository" information.

### 8.1.3. Title Element (2.3)

A *DACS*-compliant title should already be recorded in the resource record, whether imported from the accession record or from previously-created resource record. See Section 6.1 of the *Processing Manual* for additional instructions on writing titles if necessary.

### 8.1.4. Date Element (2.4)

The dates should reflect, as accurately as possible, the total date range for all accessions. Use a date expression if appropriate (for example, if much of the material is undated or if only circa dates are known). If not using a date expression, do not use the date expression field and the dates will be taken from the date fields as filled in.

### 8.1.5. Extent Element (2.5)

Extent and container summary should reflect the totality of the linear footage of all accessions linked to that resource.

### 8.1.6. Name of Creator(s) Element (2.6)

Use the names module to find or create personal, family, or corporate names.

### 8.1.7. Scope and Content Element (3.1)

Use Scope and Contents note, labeled “Collection Scope and Content Summary.”

Two or three sentences total. First phrase or sentence should be about the creator and their relationship to the files created. In a few cases, there may be biographical information in the names file if one has already been created. Get the information from the accession records. Synthesize and distill the information from all the accession records. If necessary look in the collections file and as a last resort check the collection itself.

### 8.1.8. Conditions Governing Access Element (4.1)

Use Conditions Governing Access note, labeled “Access.”

We need to let staff know when there are restricted materials in the collection and emphasize that review is necessary before the unprocessed collection can be made available for public use. Your access note for the original accession should have transferred with the creation of a resource record.

Examples of restricted materials include: student records, medical records, documents listing Social Security numbers, archival original media (including photographic negatives, audio or video recordings, and disk media), or any materials named in the gift

agreement as restricted to use for a period of time. **Refer to Section 7.5.2.4 of the *Processing Manual* for creating access statements.**

***Please note:*** Your preliminary assessment and analysis of the collection during accessioning is *imperative* to providing accurate information about restricted items. Because accession records become publicly searchable finding aids for unprocessed or semi-processed collections, the access restrictions note provides valuable information for public services staff and the archivist when providing access to accessions, unprocessed, and minimally processed collections. For further information, please consult the ***Policies and Procedures for Providing Access to Accessions, Unprocessed, and Minimally Processed Collections*** document on the V:\ drive.

### 8.1.9. Languages and Scripts of the Material Element (4.5)

Use the drop-down box to indicate the predominant language of the collection.

## 8.2 Data elements specifically for the OAC

The following data elements (8.1.11 – 8.1.14) are not part of a minimal record in *DACS*, but they will improve the display in the OAC.

### 8.2.1 Abstract

Copy and paste the entire scope and content into an abstract note.

### 8.2.2 Finding aid title

("Guide to the….")

### 8.2.3 Finding aid filing title

Find guidance and instructions in the OAC Basic Finding Aid instructions.

### 8.2.4 Finding aid date

Indicate the year.

### 8.2.5 Repository Processing Note

Write the phrase "DACS minimum finding aid requirements met" in this field. This will allow you to search for and isolate just the records that have minimum-standard finding aids.

## 8.3 Added value elements

The following data elements (8.3.1 and 8.3.2) are not part of a minimal record in *DACS*, but are "added value" elements that SCA is including in all single-level minimum finding aids as a courtesy to researchers. They require little effort to include and provide essential information regarding the citation of collections and publication rights governing their use.

### 8.3.1 Conditions Governing Reproduction and Use Element (4.4)

Use Conditions Governing Use note, labeled "Publication Rights." Refer to Section 7.5.2.5 of the *Processing Manual* for wording.

### 8.3.2 Citation (7.1.5, under Notes Element)

Use Preferred Citation note, labeled "Preferred Citation." Refer to Section 7.5.2.7 of the *Processing Manual* for wording.

## 8.4 Upload EAD file to Online Archive of California (OAC)

See section 10.1 of the *Processing Manual* for instructions on uploading EAD files to the Online Archive of California (OAC).

# 9. Instructions for New Accessions with Nonstandard Finding Aids

To enhance discovery, nonstandard finding aids in serviceable form will be made available via OAC as supplemental PDFs. Nonstandard finding aids may be found in collection files or within collection boxes. These may be in the form of lists, inventories, or other descriptive documents created by the donor, custodian, or transferring agency. If you are uncertain whether a finding aid is serviceable, or need help identifying nonstandard finding aids, consult the archivist.

## 9.1 Create resource record in AT

Follow the instructions in Sections 8.1 of this manual for creating minimum *DACS* finding aids.

## 9.2 Create supplemental PDF document(s)

If the nonstandard finding aid is in paper form, scan the document and save it as a PDF. If it is already in electronic form, be sure to save it as a PDF if it is in another format. Label the document using this file naming convention: collection number_nonstandard (e.g. r046_nonstandard). Save all nonstandard finding aids in the electronic collection file.

To ensure that the document is keyword searchable, use Adobe Acrobat's text recognition tool. Open the PDF in Acrobat and click on Tools → Text Recognition → In This File. Use the default settings (Primary OCR Language: English (US); PDF Output Style: Searchable Image; Downsample To: 600 dpi). Time needed to process the file will depend on its size.

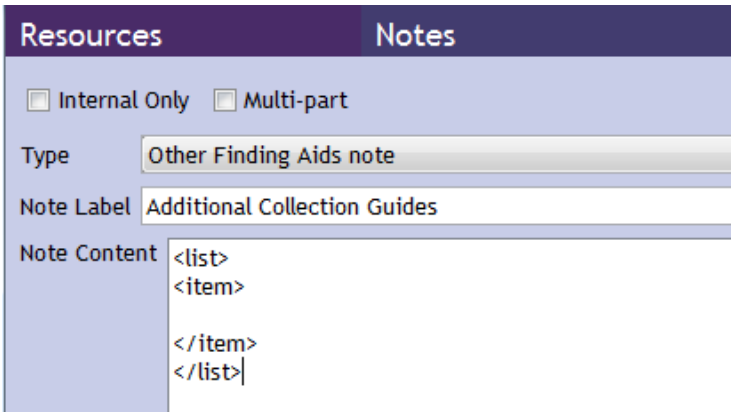
If you will be uploading multiple PDF documents, open Acrobat and click on Tools → Text Recognition → In Multiple Files. You can then select the files you would like to OCR by clicking "Add Files…". Use the default settings.

### 9.2.1 Upload supplemental PDF document to OAC server

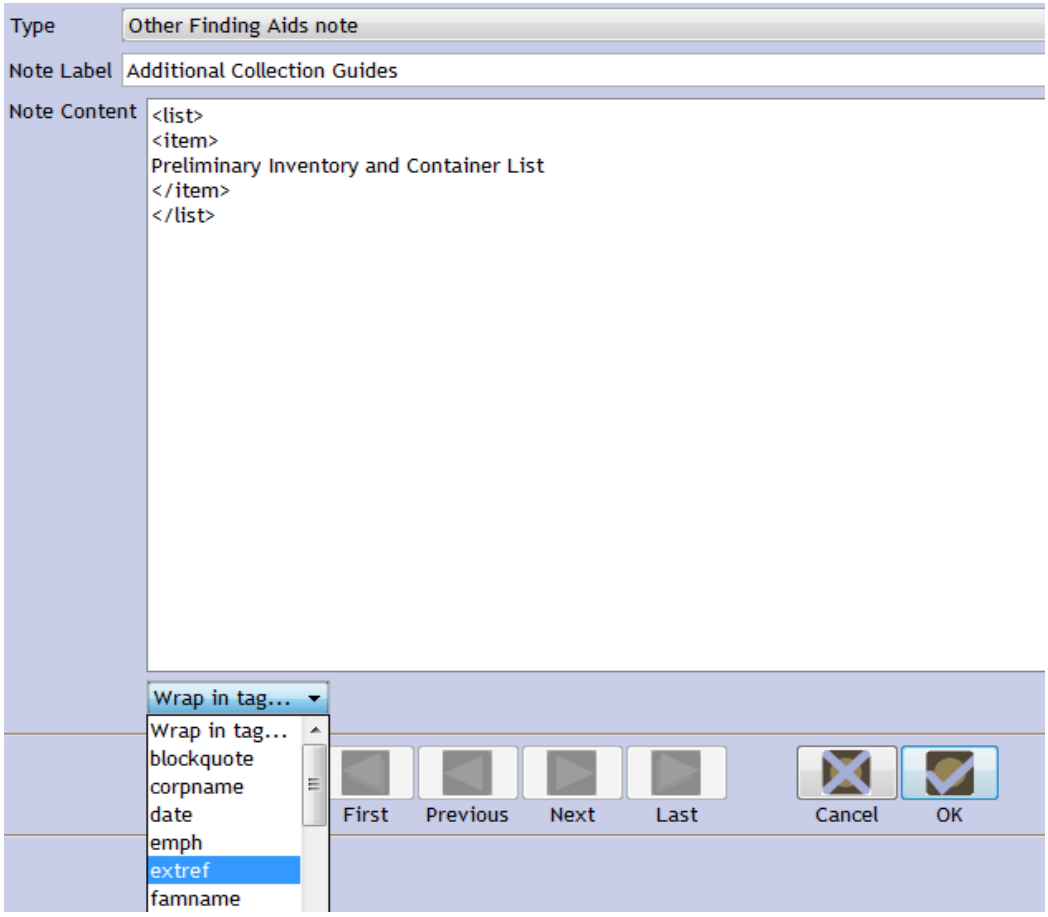
1. Establish a WebDAV connection using NetDrive.
   a. Open NetDrive from the Specialized Apps folder on your computer, located at: C:\Documents and Settings\All Users\Start Menu\UCI Libraries\Specialized Apps\
   b. Enter your voroEAD username and password for authentication.
   c. Open the appropriate PDF FINAL connection under the Production Sites directory.
   d. Open the folder of the EAD file name that you want to match the PDF with (e.g. p010, c004, etc.)
2. Open the electronic collection file on the V:\ drive containing the PDF file
3. Drag file from directory and drop into the appropriate EAD file name folder.

## 9.3 Add Finding Aids Element (4.6) to resource record

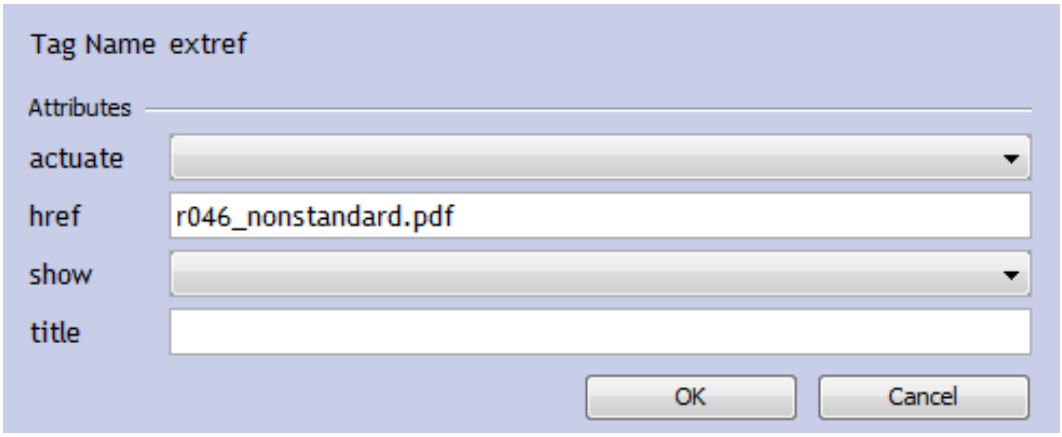
Use Other Finding Aids note, labeled "Additional Collection Guides." In the body of the note, add beginning and ending <list> and <item> tags.




Between the beginning and ending <item> tags, write the descriptive title of the nonstandard finding aid (e.g. Preliminary Container List, Inventory, etc.). Highlight the text and encode it in a <extref> tag using AT's "wrap in tag" drop-down menu.




In the dialog box that appears, enter the PDF file name with the .pdf extension in the “href” field.




You must then insert the following ROLE attribute after the HREF attribute: "http://oac.cdlib.org/arcrole/supplemental".

When you open the exported EAD file in jEdit, the ROLE attribute will not show up; copy and paste the text string from AT. You will then need to add "ns2:" before the HREF and ROLE attributes in order for the file to validate on OAC. Thus, it should look like this:

```
<extref ns2:href="r046_nonstandard.pdf"
ns2:role="http://oac.cdlib.org/arcrole/supplemental">Preliminary
Inventory and Container List</extref>
```

The supplemental PDF should appear as a hyperlink in the final EAD finding aid under the heading "Additional Collection Guides," the <extref> tag serving as a pointer to the PDF document location on the OAC server.

### 9.4 Upload EAD file to Online Archive of California (OAC)

See section 10.1 of the *Processing Manual* for instructions on uploading EAD files to the Online Archive of California (OAC).

## 10. Instructions for Additions to Unprocessed Collections

If an accession is an addition to an unprocessed collection, follow these steps.

### 10.1 Revise date expression

Update the Date Expression field for the collection, if the new accession includes dates that are outside the original collection's date range(s).

### 10.2. Revise the extent and container summary

In the resource record, update the Extent Number field to include the linear feet from the new accession. In addition, update the Container Summary field to include the boxes (and oversize folders) in the new accession. For example, an unprocessed collection's extent may have been 20.4 linear feet, but the new accession is 1 linear foot. The new extent should be

21.4 linear feet. The accession adds another box to the collection, so the Container Summary is updated from 37 boxes to 38 boxes.

## 10.3. Revise abstract

In the Notes, Etc. & Deaccessions tab, update the Abstract to incorporate any additional information about the collection based on the new accession. If no new information was gathered, do not update.

## 10.4. Revise access note

In the Notes, Etc. & Deaccessions tab, update the Access note if the current collection-level statement does not adequately cover the new accession.

We need to let staff know when there are restricted materials in the collection and emphasize that review is necessary before the unprocessed addition to the collection can be made available for public use. Incorporate the access note from the accession record into the collection-level note, or **refer to Section 7.5.2.4 of the *Processing Manual* for creating access statements.**

Examples of restricted materials include: student records, medical records, documents listing Social Security numbers, archival original media (including photographic negatives, audio or video recordings, and disk media), or any materials named in the gift agreement as restricted to use for a period of time.

***Please note:*** Your preliminary assessment and analysis of the collection during accessioning is *imperative* to providing accurate information about restricted items. Because accession records become publicly searchable finding aids for unprocessed or semi-processed collections, the access restrictions note provides valuable information for public services staff and the archivist when providing access to accessions, unprocessed, and minimally processed collections. For further information, please consult the ***Policies and Procedures for Providing Access to Accessions, Unprocessed, and Minimally Processed Collections*** document on the V:\ drive.

## 10.5. Revise the scope and contents note

In the Notes, Etc. & Deaccessions tab, update the Scope and Contents note for the collection. Use the Description note from the Accession Notes tab of the original accession record. You may want to incorporate parts of the Inventory note as well. Aim for two to three descriptive sentences distilled from the accession record.

## 10.6 Create and upload supplemental PDF (if applicable)

If the new addition comes with a nonstandard finding aid, follow the steps for creating and uploading supplemental PDFs outlined in Sections 9.2 and 9.3 of this manual. Make sure

that the descriptive title of the PDF captures the scope of the document (e.g. Inventory of Business Records Unprocessed Addition, etc.).

### 10.7 Upload revised finding aid and catalog record

In the Finding Aid Data tab, update the Revision Date (and Finding Aid Date, if necessary). Re-export and upload the revised finding aid to the OAC. Notify the cataloger who will update or create a MARC record for the collection.

## 11. Instructions for Additions to Processed Collections

If an accession is an addition to an already-processed collection, follow these steps.

### 11.1 Revise date expression

Update the Date Expression field for the collection, if the addition includes dates that are outside the original collection's date range(s).

### 11.2 Revise the container summary and finding aid status

In the resource record, add the phrase "and xxx unprocessed linear feet" to the container summary. For example, a container summary that said this before a new accession:

```
(157 boxes and 4 oversize folders)
```

…would say this after the accession:

```
(157 boxes and 4 oversize folders) and 33 unprocessed
linear feet
```

Check the Accessions module in AT for any other unprocessed accessions and update the container summary as needed. In the "Finding Aid Data" tab, update the Finding Aid Status to "Semiprocessed."

### 11.3 Revise abstract

In the Notes, Etc. & Deaccessions tab, update the Abstract to incorporate any additional information about the collection based on the new addition. If no new information was gathered, do not update.

### 11.4 Revise access note

In the Notes, Etc. & Deaccessions tab, update the Access note if the current collection-level statement does not adequately cover the new addition. This will likely happen if the new addition may contain restricted materials that can't be reviewed during accessioning.

We need to let staff know when there are restricted materials in the collection and emphasize that review is necessary before the unprocessed addition to the collection can be made available for public use. Incorporate the access note from the accession record into the collection-level note, or **refer to Section 7.5.2.4 of the *Processing Manual* for creating access statements.**

Examples of restricted materials include: student records, medical records, documents listing Social Security numbers, archival original media (including photographic negatives, audio or video recordings, and disk media), or any materials named in the gift agreement as restricted to use for a period of time.

***Please note:*** Your preliminary assessment and analysis of the collection during accessioning is *imperative* to providing accurate information about restricted items. Because accession records become publicly searchable finding aids for unprocessed or semi-processed collections, the access restrictions note provides valuable information for public services staff and the archivist when providing access to accessions, unprocessed, and minimally processed collections. For further information, please consult the ***Policies and Procedures for Providing Access to Accessions, Unprocessed, and Minimally Processed Collections*** document on the V:\ drive.

## 11.5 Revise scope and contents note

In the Notes, Etc. & Deaccessions tab, update the Scope and Contents note for the collection if the new addition is not adequately covered by the current note. Use the Description note from the Accession Notes tab of the original accession record. You may want to incorporate parts of the Inventory note as well. Aim for two to three descriptive sentences distilled from the accession record.

## 11.6 Create top-level component description

If the collection is arranged in series, create a series-level component representing the accession, using a descriptive title. If there are no series, create a file-level component.

Examples:

**Orange Coast Chapter unprocessed additional records**

**Research notes unprocessed additional records**

If there are multiple unprocessed additions to add, or if the contents of the new addition are the same as those in other additions, simply identify the new materials by acquisition year. For example:

**Unprocessed addition 2013**

## 11.7 Enhance the top-level component description

### 11.7.1 Component Unique Identifier element

The Component Unique Identifier should be the accession number, such as 2011.006. In the box, write "Accession" before inserting the number. This will enhance the display of the component unique identifier on OAC, which should look like this: Accession 2011.006.

### 11.7.2 Date element

The date should reflect the total date range for the new accession. Use a date expression if appropriate (for example, if much of the material is undated or if only circa dates are known). Otherwise, use a date range.

### 11.7.3 Extent element

Extent should reflect the totality of the linear footage of the new accession. **Only enter extent information if the addition is a series-level component.** File-level components do not have extent statements.

### 11.7.4 Scope and Content Note element

In the Notes, Etc. tab, add a Scope and Contents note, labeled "Series Scope and Content Summary" (if a series) or "Scope and Content Note" (if a file). Duplicate the Description note from the Accession Notes tab of the original accession record. You may want to incorporate parts of the Inventory note as well. Aim for two to three descriptive sentences distilled from the accession record.

### 11.7.5 Conditions Governing Access Note element

Use Conditions Governing Access note, labeled "Access."

We need to let staff know when there are restricted materials in the collection and emphasize that review is necessary before the unprocessed addition to the collection can be made available for public use. Copy the access note from the accession record or **refer to Section 7.5.2.4 of the *Processing Manual* for creating access statements.** A typical access statement for an unprocessed addition is: "This addition to the collection is not yet processed. Please contact the Department of Special Collections and Archives in advance to request access."

Examples of restricted materials include: student records, medical records, documents listing Social Security numbers, archival original media (including photographic negatives, audio or video recordings, and disk media), or any materials named in the gift agreement as restricted to use for a period of time.

***Please note:*** Your preliminary assessment and analysis of the collection during accessioning is *imperative* to providing accurate information about restricted items. Because accession records become publicly searchable finding aids for unprocessed or semi-processed collections, the access restrictions note provides valuable information for public services staff and the archivist when providing access to accessions, unprocessed, and minimally processed collections. For further information, please consult the ***Policies and Procedures for Providing Access to Accessions, Unprocessed, and Minimally Processed Collections*** document on the V:\ drive.

## 11.8 Revise the collection-level arrangement note

The unprocessed addition must be represented in the finding aid's collection-level arrangement note. If the collection is arranged in series, write the following at the end of the existing note: "The collection also contains xxx unprocessed addition(s)." List the accession number, component title, date range, and extent in linear feet.

Example:

**This collection is arranged in two series:**

**Series 1. Inter-League Organization records, 1957-2001. 6.5 linear feet**
**Series 2. Chapter records, 1957-2005. 11 linear feet**

**The collection also contains four unprocessed additions:**

**Accession 2009.015. Orange Coast Chapter chronological files unprocessed addition, 1977-2007. 2.4 linear feet**
**Accession 2011.006. Orange Coast Chapter unprocessed addition, 1967-2004. 3 linear feet**
**Accession 2013.017. Position statement publications and documents unprocessed addition, circa 1970-1993. 0.2 linear feet**
**Accession 2013.029. Inter-League Organization and League of Women Voters of California unprocessed addition, 1946-2009 (Bulk, 1977-2009). 2 linear feet**

If the collection does not contain series, indicate that an unprocessed addition is listed at the end.

Example:

**This collection is arranged alphabetically by subject. Accession 2014.007, an unprocessed addition to the collection, is listed at the end.**

### 11.9 Create and upload supplemental PDF document (if applicable)

If the new addition comes with a nonstandard finding aid, you should provide access to that document if processing during accessioning is not feasible. Follow the steps for creating and uploading supplemental PDFs outlined in Sections 9.2 and 9.3 of this manual. Make sure that the descriptive title of the PDF captures the scope of the document (e.g. Inventory of Business Records Unprocessed Addition, etc.).

**Note:** While it is imperative to update the AT resource record with the collection-level Other Finding Aids note to maintain accurate collection management, it may be easier to edit the EAD file directly rather than re-export the entire finding aid, particularly if the original EAD file required extensive cleanup or custom encoding after exporting. If this is the case, insert the following encoding template in the appropriate place in the EAD file:

```
<otherfindaid>
<head>Additional Collection Guides</head>
<list>
<item>
<extref ns2:href="[PDF filename, with .pdf extension]"
ns2:role="http://oac.cdlib.org/arcrole/supplemental">[Descriptive
title for the PDF file]</extref>
</item>

[For any additional PDFs, use additional <item>s, with a nested
<extref>]

</list>
</otherfindaid>
```

### 11.10 Upload revised finding aid and catalog record

In the Finding Aid Data tab, update the Revision Date (and Finding Aid Date, if necessary). Re-export and upload the revised finding aid to the OAC. Notify the cataloger who will update or create a MARC record for the collection.

## 12. Fill Out Archival Collection Accession Checklist

Use the **Archival Collection Accession Checklist** to make sure all steps have been completed. The checklist form is located at V:\ms-as_documentation\Archival Technical Services_forms and labels\Forms\Accessioning and in Section 15: Appendix of this manual. The archivist should file a hard copy of the checklist in the relevant collection file and place the electronic version in the electronic collection file on the V:\ drive. The document should be labeled according to this format: accn[number with no periods or spaces]_checklist. Example: accn2013009_checklist.

The Accession Checklist records the dates on which specific tasks are completed. Dates should only be recorded in the "Date Completed" column. Three sections on the checklist (entitled **"Complete accession record in AT"**, **"Create or revise existing resource record/finding aid in AT", and "Accessions with Born-digital Content"**) require the accessioner to put an "X" next to items associated with these tasks when completed. If an item is not relevant to a particular accession, write "N/A" in the checkbox. For sections containing sub-sections for different accessioning scenarios (e.g. collections with an existing finding aid vs. no finding aid), only fill out the applicable sub-section.

Do not fill out the "End Date" for the accession until all tasks are completed. This may be several weeks from the time accessioning began.

# 13. Assigning Value Scores to Determine Processing Priority

SCA is following the recommendations established by the *Guidelines for Efficient Archival Processing in the University of California Libraries* ("*UC Guidelines"*) report published in September 2012. This report encourages UC campuses to process collections at an appropriate level and provides repositories with a suite of tools to guide local processing decisions. At UCI, preliminary processing decisions will be made during accessioning and noted in the AT accession record.

For a detailed discussion of levels of control, see Section 2.4 of the *Processing Manual* and Section 3.A of the *UC Guidelines*.

## 13.1 Assess the value of the accession

***Note:*** *The following is adapted and excerpted from Section 3.B.1 of the UC Guidelines*

The value of an accession in the context of SCA will determine its processing priority. The value will be represented on a scale of 4-20 points and consider these issues:

- **User interest:** How frequently do/will researchers seek material on the topics documented in the collection? What kinds of researchers are interested in the material? To help answer these questions, you can:
    - Consult recent quarterly reports on the SCA wiki. Look especially at significant researcher topics, paging statistics for archival collections, and top 5 most-viewed finding aids (under Finding Aids: Hits)
    - Ask the Public Services Librarian about popular reference questions and collections

- **Quality of documentation (or research value):** How significant is the documentation to scholarship on this topic? How unusual, extensive, or detailed is the documentation? Points to consider include:

    - Informational value of the records (often dictated by record genre/form, e.g. correspondence, diaries, etc.)
    - Professional standing and accomplishments of the creator in their field (gathered through an Internet search or the collection itself)
    - Collection of related records, artifacts, etc. by other cultural heritage institutions
    - Existence of archival sources vs. published sources
    - Overall contribution to the available research resources on the creator or topic (e.g. a new or different perspective)

- **Institutional value:** Does the collection have particular interest to SCA? Points to consider include:

    - Service to clientele of particular interest (e.g. a community we are trying to document)
    - Collecting areas we are actively trying to enrich or expand
        - Consult the Special Collections & Archives Collection Development Policy
    - Academic strengths at UCI
    - Political or other reasons to highlight the collection, such as:
        - An important donor or administrator
        - Campus or library-wide initiatives

- **Object value:** This refers to the value of the materials as artifacts. Does the collection include materials that are significantly rare, unique or precious? Do the materials have significant exhibit value? Are they likely targets for theft? Points to consider include:

    - Original works of art (e.g. paintings, drawings, three-dimensional artifacts, hand-crafted decoration or embellishment, etc.)
    - Contextual role of physicality, such as:
        - Original housings or display settings that contribute to experience and interpretation of the records
        - Inscriptions or other markings on physical carriers of intrinsic or informational value

Using the table below, assign a rating from 1 – 5 for each of the four values, for a total score of 4-20.

| Scale | User Interest | Quality of Documentation (Research Value) | Institutional value | Object value |
|---|---|---|---|---|
| 1 | Negligible | Slight | Negligible | Negligible |
| 2 | Slight | Limited | Limited | Limited |
| 3 | Moderate | Pertinent, average | Moderate | Moderate |
| 4 | High | Important, extensive | High | High |
| 5 | Very high | Unique, very rich | Very high | Very high |

## 13.2 Identify the appropriate level of effort or control

*Note: The following is adapted from Sections 3.B.2 and 3.A of the UC Guidelines*

The value score calculated during assessment of the accession is associated with specific levels of effort/control for processing. Use the chart below to identify the levels that may be used for processing the accession. The processor will determine how to best apply the various levels upon closer examination of the accession contents. Keep in mind that these are guidelines and may be subject to change depending on resource or institutional considerations.

| Value Scores | Appropriate level of effort or control |
|---|---|
| 4-5 | Minimal effort \| Collection level |
| 6-10 | Minimal effort \| Collection level<br>Low effort processing \| Series or subseries level |
| 11-15 | Minimal effort \| Collection level<br>Low effort \| Series or subseries level<br>Moderate effort \| File level (expedited) |
| 16-18 | Minimal effort \| Collection level<br>Low effort \| Series or subseries level<br>Moderate effort \| File level (expedited)<br>Intensive effort \| File level (traditional) |

| | |
|---|---|
| 19-20 | Minimal effort \| Collection level<br>Low effort \| Series or subseries level<br>Moderate effort \| File level (expedited)<br>Intensive effort \| File level (traditional)<br>Highly intensive effort\| Item level |

See Section 3.B.2.b of the *UC Guidelines* for a discussion of other factors influencing the level of control.

### 13.2.1. Considerations for assigning levels of control

Assessing the value of accessions may not always be a straightforward exercise. The following chart gives a brief overview of some considerations for determining appropriate levels of processing, outlining the "attributes of likely candidates" for each level of effort/control. Note that these attributes are applied to various archival units, including accessions, collections, and series.

| **Level of Effort** | **Level of Control** | **Attributes of likely candidates for this level of control / effort:** |
|---|---|---|
| Minimal | Collection Level | • Recent accessions.<br>• Collections less than 2 linear feet.<br>• Collections with low research value or little expected use.<br>• Collections with simple organizational schemes.<br>• Collections with uniform kinds of materials or subjects.<br>• Collections in any format. |
| Low | Series or Subseries Level | • Collections greater than 2 linear feet.<br>• Collections with low to medium research value and expected research use less than every few years.<br>• Collections with potentially high research value or use that need expedited processing to get materials into the hands of users quickly. Patterns of use may be tracked for making further processing decisions.<br>• Series of any size with adequate original order, description, and housing.<br>• Series for which a succinct scope and content note in place of a folder list would offer adequate information for discovery.<br>• Series of any size in which content or format is uniform and the existing arrangement is adequate for finding material, appropriate to the anticipated level of use.<br>• Series with low research value, even if the content and/or formats are highly varied.<br>• Collections lacking discernible order for which a rough sort of materials enables use. |

| | | |
|---|---|---|
| Moderate | File Level (expedited) | • Collections with moderate to high research value and expected research use at least once per year.<br>• Series or collections with serviceable existing housing, organization, and/or description.<br>• Series where the content and/or formats are highly varied. |
| Intensive | Folder Level (traditional) | • Collections with high research value and expected research use on a regular basis.<br>• Collections or series with little to no original order or housing.<br>• Collections or series with a wide variety of topics or material types.<br>• Collections or series with privacy issues, where restricted materials are scattered throughout. |
| Highly Intensive | Item Level | • Rarely appropriate and should be reserved for collections, or materials within collections, that are significantly rare and have the highest research value. |

## 13.3. Update accession record(s) for retroactively assigned value scores

For collections assigned a value score prior to the start of processing, rather than at the point of accession, the Processing Priority drop-down list and Processing Plan field in the Acknowledgements, Restrictions & Processing Tasks Tab will need to be updated for all associated accession records. Do not do a value score for each separate accession, but for the collection as a whole. The collection value score will be represented in each accession record.

Indicate that the value score was assigned retroactively in the Processing Plan field. Give the date and your initials.

Example:

```
Assigned retroactively on 2013/07/24 SS

Minimal effort | Collection level
Low effort processing | Series or subseries level

Value Score:
User Interest = Slight (2)
Research Value = Limited (2)
Institutional Value = Moderate (3)
Object Value = Negligible (1)
```

Because retroactive value scores are assigned prior to the start of processing, put your name in the Processors field for each accession record.

# 14. Accessioning Born-digital Materials

Modern archival collections increasingly include born-digital records. These may exist on local library servers or may be transferred to SCA from remote servers, a likely scenario for university records, or be stored on physical media such as floppy disks, CDs, USB drives, and hard drives sent to SCA. In an effort to gain greater intellectual control over born-digital records at the beginning of the archival workflow, SCA is implementing the following steps at the point of accession.

## 14.1 Donor digital material/file survey

As much information as possible regarding born-digital records should be obtained upfront from the donor or custodian. This information will be collected by means of a digital material/file survey, a series of questions aimed at gathering pertinent facts about the "digital life" of the records creator, including hardware and software used, work styles and habits as they affect records creation, organization and types of files contained on media carriers, etc. Ideally, this would occur during the collection development and acquisition stage before the collection enters the custody of SCA. As this may not be feasible, these questions may be addressed during accessioning. They should be delivered via e-mail to the donor or custodian so his/her responses are documented in writing. In your correspondence, indicate that while none of the questions are required, answering them to the "best of your knowledge" would be invaluable for future preservation and access. Add the survey to the physical and electronic collection files. **Important: The survey should be completed before any digital forensics work begins.**

*Note: The following is taken from Appendix F of the AIMS White Paper. The relevance of each category or question to the collection at hand is at the discretion of the accessioner, archivist, and/or SCA department head.*

**1. General Work & Computing Habits**

1.1. What are your chief activities? (e.g. writing, research, lecturing, other professional activities)

1.2. What kinds of records do you create, maintain, and use in the course of each of these activities? (e.g. drafts of writings, research notes, lecture notes, journals, diaries, correspondence, photographs, databases, etc.)

1.3. Can you describe your general work habits with computers in support of these activities? (e.g. you write first by hand, then input work into computer, you use different computers for different kinds of work, you're always online, etc.).

**2. Digital Material Creation**

2.1. Are you solely responsible for creating your digital files?

2.2. If not, who else is involved, and what are their roles?

2.3. Do you maintain digital files created by others? If yes, how do you separate your files and files created by others?

2.4. Do you share your computer with other people? If yes, how are files created by different people separated?

2.5. Do you separate your personal files from your work files?

2.6. What are the earliest and latest creation dates (roughly) of your digital files?

**3. Varieties of Digital Material**

3.1. What types of digital files are created? (e.g. word processing files, images, spreadsheets, databases, etc.)

3.2. If you create files in both digital and paper formats, do certain files exist in both formats? (e.g. drafts of writings, email, etc.)

**4. Digital Material Organization**

4.1. How are digital files named?

4.2. Is some kind of version control used? (e.g. filename1, filename2, to represent 1st and 2nd drafts of the file.)

4.3. How are your digital files currently organized? (e.g. filed in named folders? by projects? by topics? some other scheme?)

4.4. Have you always had this organization? If not, can you summarize/characterize previous organizations, and roughly when and why you made changes?

4.5. Are digital files destroyed in regular intervals?

4.6. Do you use more than one computer (e.g. office desktop, office portable computer, home desktop, etc.)? If yes, how do you synchronize files between different computers?

**5. Mobile Device**

5.1. Do you use smart phones (e.g. Blackberries, iPhone, Android phone, etc.)? If yes, do you store contents in the smart phone elsewhere?

5.2. Do you use tablets PC (e.g. iPad, etc.)? If yes, do you store contents in the tablet PC elsewhere?

**6. E-mail**

6.1. Do you have multiple email accounts?

6.2. Which email programs/services are you using? (e.g. Email program provided by your work place, Outlook, Mac Mail, Hotmail, Gmail, Yahoo! Mail, etc.)

6.3. How is your email currently organized? (e.g. in self-created email folders, etc.)

6.4. Have you always had this organization? Do you use the sorting function with any regularity to re-order your email?

6.5. How is email saved? (e.g. untouched in the email program, a copy in your PC, printed out in paper, etc.)

6.6. Are email and paper correspondence managed together or separately?

6.7. Do you use address books?

6.8. Is there a space quota assigned to your email account? If yes, have you ever exceeded the quota assigned?

**7. Calendar Software**

7.1. Do you use calendar software with your computer (Outlook, Google Calendar, 30 Boxes etc.)? Which one?

7.2. Do you use calendar software in your mobile device?

7.3. Do you have any synchronization issue between the calendars in your mobile device and your computer?

**8. Webpages / Blogs**

8.1. Do you have webpages / blogs?

8.2. Are webpages / blogs updated? How often?

8.3. What software do you use to update webpages / blogs?

8.4. Have copies (digital or paper) of previous versions been kept?

**9. Social Networking Sites (e.g. Facebook, LinkedIn, Twitter, etc.)**

9.1. Do you have social networking accounts?

9.2. Are account information (e.g. profiles, photos, etc.) updated? How often?

9.3. Have copies (digital or paper) of previous versions been kept?

**10. Photo / Video Sharing Sites (e.g. Flickr, Picasa, YouTube, etc.)**

10.1. Do you post photos / videos to these web sites? If yes, which one?

10.2. How often do you post contents?

10.3. Do you delete photos / videos posted? If yes, do you have a copy of the deleted postings?

**11. Document Sharing Sites (e.g. SlideShare, Scribd, Google Doc, etc.)**

11.1. Do you post documents to these web sites? If yes, which one?

11.2. How often do you post contents?

11.3. Do you delete documents posted? If yes, do you have a copy of the deleted postings?

**12. Digital Files Storage / Backup**

12.1. Do you / your institution have a backup routine for your files / emails? If you don't know, do you mind if we ask your technical support? How can we contact your technical support?

12.2. What media are used for backup files? (e.g. optical disk, hard disk, file server, web based backup service such as SugarSync., etc.)

12.3. Do you transfer files in your old computer to your new computer? If yes, what types of files are transferred? Did you encounter any problems in transferring the files?

12.4. Do you keep your old computers? Roughly when were they being used? Can you tell us what platforms they run on?

12.5. Have you ever experienced a serious hardware failure (e.g. hard-drive crash)? If yes, are the files in the affected computer recovered?

12.6. Are any digital files stored in unusual storage media? (e.g. punch cards, 8 inch. floppy diskettes, etc.)

**13. Privacy and security**

13.1. Are some digital file types of a sensitive nature? (e.g. tax records, medical records, peer-review comments, letters of recommendation, student records, etc.)

13.3 Are there files that you would want destroyed? If yes, please provide details so that we can act upon when we encounter such files when processing your files.

13.4 Do any digital files require passwords?

13.4. Where are user names and passwords kept? What service / software are used to save them?

13.5. Do you use digital watermarks? On what types of digital files? For what reasons?

**14. File Transfer Arrangement**

14.1. Do you want to delete any files / re-organize the files before the transfer?

14.2. Are there files you would like to transfer to us later? When?

## 14.2 Nonstandard finding aids received from the donor

If the donor or custodian has an inventory or any other form of legacy metadata for the born-digital records in an accession, it should be made available to researchers if it is in serviceable condition. Consult the archivist if you need help determining serviceability. Follow the instructions in Section 9 of this manual for making supplemental PDFs accessible via OAC.

## 14.3 Procedures for born-digital records received on physical media

The bulk of the born-digital records received by SCA are stored on physical media. While these carriers may have brief metadata labels summarizing their stored contents, the descriptions do not typically convey the extent or richness of the information contained therein. In order to facilitate accurate representation of the records in finding aids, digital forensics tools are implemented to extract essential metadata. These tools also allow for the preservation of original digital objects and creation of access copies.

### 14.3.1 Pre-digital forensics information for the accession record and minimal finding aid

Because of the time required for digital forensics projects, basic data elements for born-digital records will be included in the accession record and resulting minimal finding aid as initial "placeholders" until more detailed descriptive information is available. The following should be included in the Inventory field of the accession record:

- Type and extent (number of items and approximate capacity in bytes) of physical media carriers. For extremely large accessions of born-digital media, approximate the number of items. Example:

```
-3 1/2" floppy disks: approximately 300
     Ranges from 720 KB to 1.4 MB each
- 5 1/4" floppy disks: 152
     Ranges from 360 KB to 1.2 MB each
```

```
- External hard drives: 2
      Unknown MB
```

- Summaries or transcriptions (for small accessions) of the metadata contained on the carriers (e.g. Thesis Notes 1995, Book Research Files, etc.)
- Date range for the born-digital materials obtained from the physical carriers or donor digital material/file survey

The inventoried born-digital materials should be explicitly described in both the accession record Description field and minimal finding aid's Collection Scope and Content Summary; if applicable, also describe the materials in a component-level scope and content note. This will alert the end user and SCA public services staff to the presence of special formats.

The access statements for both the accession record and minimal finding aid should indicate that original digital media materials are restricted and that researchers must request use copies. In addition, if you are aware of the presence of restricted records, either from the donor digital material/file survey or metadata labels, make note of this in the access statement. If the nature of the materials is unknown at this stage, indicate that the accession may contain restricted materials. **Refer to Section 7.5.2.4 of the *Processing Manual* for creating access statements.**

### 14.3.2 Digital forensics: Legacy Archival Media Migration Platform (LAMMP)

After completion of the donor digital material/file survey and basic accessioning, the survey responses and born-digital materials should be sent to the Digital Project Specialist (at the time of this writing, Matthew McKinley) for imaging using the LAMMP workstation located in the Information Technology department. Digital preservation responsibilities of SCA and IT staff are outlined in the SCA LAMMP Processing wiki page. Follow the instructions under the heading Guidelines for Material on Digital Media Carrier(s). **Please note: Imaging will be done for all born-digital materials as a baseline accessioning procedure regardless of an accession's value score**.

The resulting image files will be ingested for preservation into UCI's dark archive, Merritt, which will serve as the "virtual shelf" for born-digital archival records until they are reviewed further for processing. Merritt will hold the disk images of the original born-digital content and also provide preservation masters of the archival records from which derivative use copies can be made. Refer to the UCI Original Digital Content Preservation in Merritt wiki page for further information.

### 14.3.3 Post-digital forensics information for the accession record and minimal finding aid

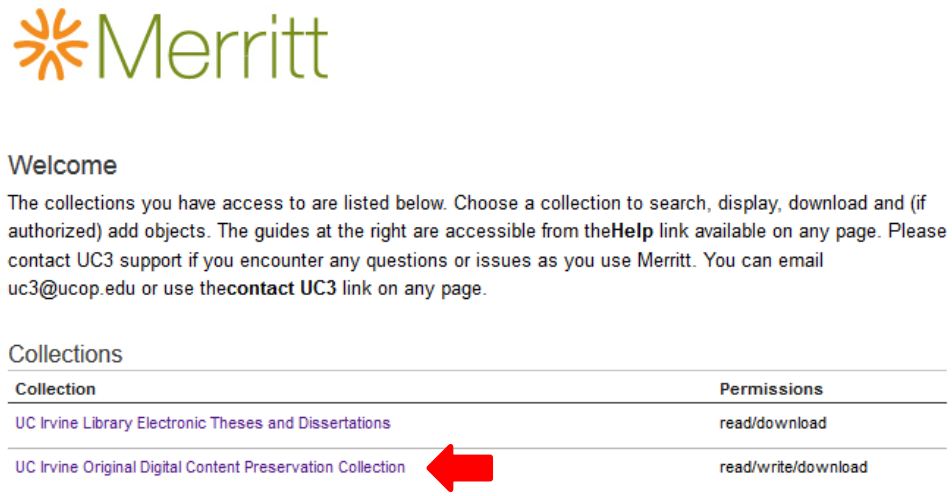
Once LAMMP imaging is complete, a series of collection-level and image-level metadata files are automatically generated. Collection-level metadata files contain information about the entire collection. Image-level metadata files contain information about individual disk images in the collection. The following charts outline all metadata files generated for each type; information is from the document *BitCurator Appraisal Environment* by Digital Project Specialist Matthew McKinley:

| **LAMMP Collection-level Metadata Files** | |
|---|---|
| **_[Collection #]_Inventory.txt** | Contains information about image collection, including % of disks successfully imaged, # of image files by type, earliest/latest Date Last Modified values, and earliest/latest imaging dates. |
| **_[Collection #]_Photos.zip** | Contains .jpg images of all physical media from which disk images were taken. |
| **_[Collection #]DiskMD_Master.txt** | Contains contents of each **[Image #].DiskMD.txt** file in a single gigantic file. Useful for searching entire collection's disk metadata at once. |
| **_[Collection #]ContentMD_Master.csv** | Contains contents of each **[Image #].ContentMD.csv** file in a single gigantic file. Useful for searching entire collection's content file metadata at once. |
| **_[Collection #]ImageLog.csv** | Contains metadata on LAMMP imaging process, including media type, image size, media volume name, earliest Date Last Modified value found in image's content files, imaging date, imaging agent, whether the disk was successfully imaged, whether a virus was found, and notes. One line per disk image package. |

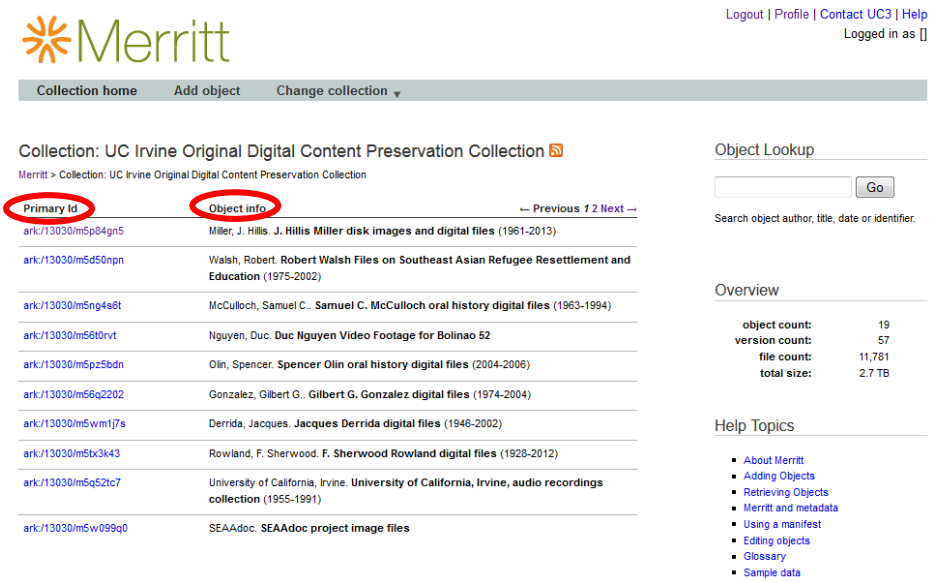
| **LAMMP Image-level Metadata Files** | |
|---|---|
| **[Image #].001** | The disk image itself. If the original media is a ZIP disk, USB thumb drive, logical directory or email archive, this will be a **.zip** package instead of **.001** raw disk image. |
| **[Image #].DiskMD.txt** | Contains metadata on the disk image and imaging process, including Disk Type/Filesystem, checksum, virus scan of disk contents and disk itself. |

| | |
|---|---|
| **[Image #].ContentMD.csv** | Contains metadata from each content file found on the disk image, including filename, full file path (for capturing directory structure), size in bytes, date last modified, and checksum. Also may contain forensic content metadata which lists deleted content and technical forensic metadata (this can only be successfully captured on PC-type image filesystems). |

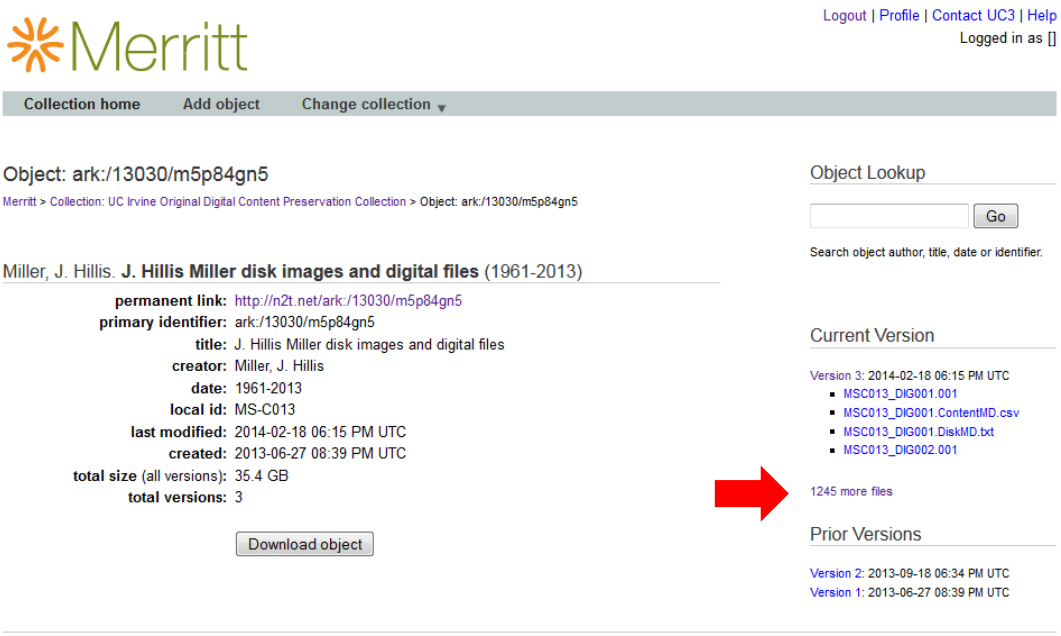
Once generated, the Digital Project Specialist uploads all metadata files for a collection to Merritt. Select files are especially useful for accessioning purposes and will be consulted to obtain additional metadata. To access the files, login to the Merritt site and click on "UC Irvine Original Digital Content Preservation Collection."


Merritt
Welcome
The collections you have access to are listed below. Choose a collection to search, display, download and (if authorized) add objects. The guides at the right are accessible from the Help link available on any page. Please contact UC3 support if you encounter any questions or issues as you use Merritt. You can email uc3@ucop.edu or use the contact UC3 link on any page.
Collections
Collection
Permissions
UC Irvine Library Electronic Theses and Dissertations
read/download
UC Irvine Original Digital Content Preservation Collection
read/write/download

Here you will see a list of all the SCA collections containing digitized or born-digital components. A permanent ark is assigned as the Primary ID, and Object Info contains a descriptive title for the materials.


Merritt
Logout | Profile | Contact UC3 | Help
Logged in as []
Collection home
Add object
Change collection
Collection: UC Irvine Original Digital Content Preservation Collection
Merritt > Collection: UC Irvine Original Digital Content Preservation Collection
Primary Id
Object info
← Previous 1 2 Next →
ark:/13030/m5p84gn5
Miller, J. Hillis. J. Hillis Miller disk images and digital files (1961-2013)
ark:/13030/m5d50npn
Walsh, Robert. Robert Walsh Files on Southeast Asian Refugee Resettlement and Education (1975-2002)
ark:/13030/m5ng4s6t
McCulloch, Samuel C.. Samuel C. McCulloch oral history digital files (1963-1994)
ark:/13030/m56t0rvt
Nguyen, Duc. Duc Nguyen Video Footage for Bolinao 52
ark:/13030/m5pz5bdn
Olin, Spencer. Spencer Olin oral history digital files (2004-2006)
ark:/13030/m56q2202
Gonzalez, Gilbert G.. Gilbert G. Gonzalez digital files (1974-2004)
ark:/13030/m5wm1j7s
Derrida, Jacques. Jacques Derrida digital files (1946-2002)
ark:/13030/m5tx3k43
Rowland, F. Sherwood. F. Sherwood Rowland digital files (1928-2012)
ark:/13030/m5q52tc7
University of California, Irvine. University of California, Irvine, audio recordings collection (1955-1991)
ark:/13030/m5w099q0
SEAAdoc. SEAAdoc project image files
Object Lookup
Go
Search object author, title, date or identifier.
Overview
object count: 19
version count: 57
file count: 11,781
total size: 2.7 TB
Help Topics
About Merritt
Adding Objects
Retrieving Objects
Merritt and metadata
Using a manifest
Editing objects
Glossary
Sample data

Click on the Primary ID of the collection you are working on. Once on the next screen, open all of the files associated with the collection. These will be listed under the heading “Current Version”.

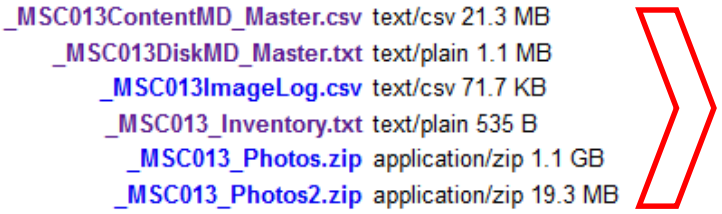

Merritt
Logout | Profile | Contact UC3 | Help
Logged in as []
Collection home
Add object
Change collection
Object: ark:/13030/m5p84gn5
Merritt > Collection: UC Irvine Original Digital Content Preservation Collection > Object: ark:/13030/m5p84gn5
Miller, J. Hillis. J. Hillis Miller disk images and digital files (1961-2013)
permanent link: http://n2t.net/ark:/13030/m5p84gn5
primary identifier: ark:/13030/m5p84gn5
title: J. Hillis Miller disk images and digital files
creator: Miller, J. Hillis
date: 1961-2013
local id: MS-C013
last modified: 2014-02-18 06:15 PM UTC
created: 2013-06-27 08:39 PM UTC
total size (all versions): 35.4 GB
total versions: 3
Download object
Object Lookup
Go
Search object author, title, date or identifier.
Current Version
Version 3: 2014-02-18 06:15 PM UTC
MSC013_DIG001.001
MSC013_DIG001.ContentMD.csv
MSC013_DIG001.DiskMD.txt
MSC013_DIG002.001
1245 more files
Prior Versions
Version 2: 2013-09-18 06:34 PM UTC
Version 1: 2013-06-27 08:39 PM UTC

This will display the full list of user files associated with the collection. All image-level metadata, as well as the disk images, are listed at the beginning.

Merritt
Collection home
Add object
Change collection
ark:/13030/m5p84gn5 - Version 3: 2014-02-18 06:15 PM UTC
Merritt > Collection: UC Irvine Original Digital Content Preservation Collection > Object: ark:/13030/m5p84gn5 > Version 3
Miller, J. Hillis. J. Hillis Miller disk images and digital files (1961-2013)
object primary identifier: ark:/13030/m5p84gn5
permanent link: http://merritt.cdlib.org/m/ark%3A%2F13030%2Fm5p84gn5/3
title: J. Hillis Miller disk images and digital files
creator: Miller, J. Hillis
date: 1961-2013
local id: MS-C013
version number: 3
version date: 2014-02-18 06:15 PM UTC
version size: 11.8 GB
version files: 1257
User Files
MSC013_DIG001.001 application/octet-stream 1.5 MB
MSC013_DIG001.ContentMD.csv text/csv 967 B
MSC013_DIG001.DiskMD.txt text/plain 2.3 KB
MSC013_DIG002.001 application/octet-stream 1.5 MB
MSC013_DIG002.ContentMD.csv text/csv 1 KB
MSC013_DIG002.DiskMD.txt text/plain 1.1 KB
MSC013_DIG003.001 application/octet-stream 1.5 MB
MSC013_DIG003.ContentMD.csv text/csv 1 KB
MSC013_DIG003.DiskMD.txt text/plain 1.1 KB
MSC013_DIG004.001 application/octet-stream 1.5 MB

Image-level metadata

Collection-level metadata files are listed at the end.


_MSC013ContentMD_Master.csv text/csv 21.3 MB
_MSC013DiskMD_Master.txt text/plain 1.1 MB
_MSC013ImageLog.csv text/csv 71.7 KB
_MSC013_Inventory.txt text/plain 535 B
_MSC013_Photos.zip application/zip 1.1 GB
_MSC013_Photos2.zip application/zip 19.3 MB

Collection-level metadata

For accessioning purposes, only collection-level metadata will be looked at. Image-level metadata will be utilized later for appraisal and processing. The most useful files to examine are the **Inventory.txt** and **ContentMD_Master.csv** files. These will provide more refined information about the modified date range, physical media types and total number of items imaged, filenames, and directories that can be incorporated into the accession record and minimal finding aid.

The **Inventory.txt** file provides imaging stats by type of media as well as the earliest and latest dates for last modification.

```
MSC013 IMAGE INVENTORY

Imaging Stats
----------------------

Total # of Source Digital Media: 437

# successfully imaged/captured:  396

Success Rate: 92%

By Type
----------------------

3.5" Floppy Disks (PC): 143
3.5" Floppy Disks (Mac): 142
5.25" Floppy Disks: 147
CD/DVD: 1
Logical Directories: 3

Dates
----------------------

[Known Date Last Modified]
Earliest: 1983-Apr-09   MSC013_DIG343 (5.25" Floppy Disk)
Latest: 2013-Feb-28     MSC013_DIG443 (Thunderbird E-Mail)

[Imaging Dates]
Earliest: 2012-Apr-04
Latest: 2013-May-06
```

Type of media imaged

Dates

Update the "placeholder" date expression in the accession record and minimal finding aid with these dates. If the born-digital records are part of an accession or unprocessed collection that includes analog records, make sure the dates are covered by the collection-level date range.

If the accession is entirely comprised of born-digital records, or is an addition to a processed collection, enter the date range following the guidelines for known dating in Section 6.2 of the *Processing Manual* and add "(last modified range)" in parentheses.

Example:

```
1983 April 09 – 2013 February 28 (last modified range)
```

Similarly, update the type and extent of the physical carriers in the accession record's Inventory field using the stats for type of media imaged.

Example:

```
Born-digital physical media (total number of items by type):
3.5" floppy disks (PC) = 143
3.5" floppy disks (Mac) = 142
5.25" floppy disks = 147
CD/DVD = 1
Logical directories = 3
```

Depending on the availability and/or comprehensiveness of a donor digital material/file survey, the Collection Scope and Content Summary of the minimal finding aid and Description in the accession record may require additional contextual information to fully capture the nature of the born-digital materials. If no survey was completed, or if survey responses do not provide enough detail regarding the contents of the born-digital components of the collection, look at the **ContentMD_Master.csv** file in Merritt. This will open as an Excel spreadsheet and includes filename, full file path (for capturing directory structure), size in bytes, date last modified, and checksum information. Quickly browse through the filenames (listed under "Name" headings) and full file path directory names (listed under "Full Path" headings) to get a sense of topics covered by the files and their organizational structure. Use this information to enhance the accession record's Description field, the minimal finding aid's Collection Scope and Content Summary, and, if applicable, any component-level scope and content note.

Examples:

```
[Collection Scope and Content Summary]

This collection includes the print and electronic teaching and
research papers of Mark Poster, Professor of History and Film &
Media Studies at the University of California, Irvine. The
```

collection comprises professional papers and electronic records created between 1967 and 2009 documenting Poster's career, including teaching materials; research notes; drafts of writings; publications; correspondence, including emails relating to his association with the Critical Theory Institute at UCI; and audio and video tapes of interviews given. The collection is composed of materials that reflect Poster's work in critical theory, cultural and intellectual history, film and media studies, and the social and cultural theory of electronically mediated information.

*[Series Scope and Content Summary]*

This series includes research files, notes, and email correspondence related to Poster's books and other publications, lectures, as well as his work with the Critical Theory Institute.

Mark Poster selected and transferred these files from his hard drive for the Critical Theory Archive at the UC Irvine Libraries. UC Irvine Libraries staff migrated most files to PDF/A format for long-term access. Routine records, such as receipts, and damaged files were not retained.

If filenames or directories suggest the presence of restricted records, update the corresponding access statements accordingly. If the presence of restricted records is still unclear and file-level review is ultimately needed, retain the statement indicating that the accession may contain restricted materials. **Refer to Section 7.5.2.4 of the *Processing Manual* for creating access statements.**

## 14.4 Procedures for "purely digital" born-digital materials

Some donors or custodians may wish to transfer their digital records via an FTP site, cloud service, or some other networked server, instead of a physical media carrier. "Purely digital" files are referred to as "logical directories" and are primarily dealt with in the same manner as their physical counterparts. However, SCA staff will need to be more involved with the handling of the files during acquisition, at which point the logical directories are packaged for LAMMP delivery using BagIt software available at *O:\LAMMP Processing\BAGGER*. Digital preservation responsibilities of SCA and IT staff are outlined in the SCA LAMMP Processing wiki page. Follow the instructions under the heading Guidelines for Material in Logical Directories.

### 14.4.1 Pre-LAMMP imaging information for the accession record and minimal finding aid

When the files have been successfully transferred into BagIt, examine the content in the data directory of the Bag. Examine the properties of the top-level directory (by right-clicking the folder icon and selecting "Properties") to determine the number of folders they contain and their total size in bytes. Open the sub-directories and quickly

browse through them to get a cursory overview of their scope and contents. If the accession is of manageable size, open the directories down to the file-level and sort by "Type" to see the file formats of the records. Also sort by "Date Modified" to get a rough estimate of the modification date range. **DO NOT open any of the individual files.**

Follow the instructions in Section 14.3.1 of this manual to document this preliminary information for the accession record and minimal finding aid. **Make sure to craft appropriate access statements.**

### 14.4.2 LAMMP imaging

Like born-digital materials received on physical media, logical directories are also imaged to create original, preservation, and access copies. However, rather than creating an actual disk image, LAMMP creates compressed .zip packages of logical directories. The same metadata files generated for other born-digital materials will also be created for the .zip packages.

### 14.4.3 Post-LAMMP imaging information for the accession record and minimal finding aid

The metadata files will be uploaded to Merritt by the Digital Project Specialist. Follow the instructions in Section 14.3.3 of this manual to obtain the necessary information from these files and update the accession record and minimal finding aid. **Make sure to craft appropriate access statements.**

## 14.5 Important notes

In some cases, an accession may contain born-digital materials that are an addition to a previously preserved collection. Similarly, an accession may contain materials that are both in "purely digital" form and stored on digital media carriers. Instructions for both scenarios are provided in the SCA LAMMP Processing wiki page under the heading Important Notes.

## 15. Appendix: Archival Collection Accession Checklist

| | |
|---|---|
| **Collection Title:** | |

| | |
|---|---|
| **Collection Number:** | |

| | |
|---|---|
| **Accession Number:** | |

| | | |
|---|---|---|
| **Accessioned by:** | **Start Date:** | **End Date:** |

| **Accessioning Tasks** | | **Date Completed** |
|---|---|---|
| Determine accession number and create new accession record in AT | | YYYY/MM/DD |
| Rebox/refolder collection for stabilization/preservation (if needed) | | YYYY/MM/DD |
| **Complete accession record in AT:** | **Check tasks with an "X"** | |
| Date Accessioned | | YYYY/MM/DD |
| Title | | |
| Extent Number and Container Summary (after accessioning) | | |
| Date Expression | | |
| Acquisition Type | | |
| Description | | |
| Condition | | |
| Inventory | | |
| Disposition Note (if needed) | | |
| Date Received | | |
| New Collection? (if needed) | | |
| Accessioned By | | |
| Donor Information | | |
| Special Formats (if needed) | | |
| Creator name | | |
| Source name | | |
| Acknowledgement Letter Sent to Donor (for new MS's) | | |
| Acknowledgement Letter Sent to Donor Date | | |
| Gift Agreement Sent to Donor (for new MS's) | | |
| Gift Agreement Sent to Donor Date | | |
| Gift Agreement Received from Donor | | |
| Gift Agreement Received from Donor Date | | |
| Restrictions Apply (if needed) | | |
| Access Restrictions (only check if restrictions) | | |

| | | | |
|---|---|---|---|
| Access Restrictions Note | | | |
| Use Restrictions (if needed) | | | |
| Use Restrictions Note (if needed) | | | |
| Processing Priority (Value Score) | | | |
| Processing Plan | | | |
| Processing status | | | |
| "Spawn," or link to, collection record | | | |
| **Create or revise existing resource record/finding aid in AT:** | | **Check tasks with an "X"** | |
| For collections that already have an OAC finding aid, update the following (if needed): | Date Expression | | YYYY/MM/DD |
| | Extent and Container Summary | | |
| | Abstract | | |
| | Access Note | | |
| | Scope and Contents Note | | |
| | Revision Date | | |
| | Revision Description | | |
| | Finding Aid Status | | |
| | Finding Aid Date | | |
| | Author | | |
| | Add new component for unprocessed addition | | |
| For collections that have no OAC finding aid, create *DACS* minimal record: | Title | | |
| | Date Expression | | |
| | Extent and Container Summary | | |
| | Repository Processing Note | | |
| | Name of Creator | | |
| | Abstract | | |
| | Access Note | | |
| | Publication Rights | | |
| | Preferred Citation | | |
| | Scope and Contents Note | | |
| | EAD FA Unique Identifier | | |
| | EAD FA Location | | |
| | Finding Aid Title | | |
| | Finding Aid Date | | |
| | Author | | |
| | Description Rules | | |
| | Revision Date | | |
| | Revision Description | | |
| | Finding Aid Status | | |
| **Accessions with Born-digital Content:** | | **Check tasks with an "X"** | |

| | | | | |
|---|---|---|---|---|
| Digital Media Carriers | Pre-digital forensics documentation | Donor digital material/file survey completed (if feasible) | | YYYY/MM/DD |
| | | Accession record (Date Expression, Inventory, Description, Access Restrictions Note) | | |
| | | Minimal finding aid (Date Expression, Collection Scope and Content Summary, Access) | | |
| | LAMMP tasks | Print labels with digital object #s | | YYYY/MM/DD |
| | | LAMMP processing form completed | | |
| | | Carriers and all documentation sent to Digital Project Specialist | | |
| | Post-digital forensics documentation | Update accession record | | YYYY/MM/DD |
| | | Update minimal finding aid | | |
| Logical Directories | Pre-LAMMP tasks and documentation | Donor digital material/file survey completed (if feasible) | | YYYY/MM/DD |
| | | Create new directory on O:\ drive | | |
| | | Transfer materials to location via BagIt | | |
| | | Accession record (Date Expression, Inventory, Description, Access Restrictions Note) | | |
| | | Minimal finding aid (Date Expression, Collection Scope and Content Summary, Access) | | |
| | LAMMP tasks | LAMMP processing form completed | | YYYY/MM/DD |
| | | All documentation sent to Digital Project Specialist | | |
| | | Documentation saved in directory or Bag in Place | | |
| | Post-LAMMP documentation | Update accession record | | YYYY/MM/DD |
| | | Update minimal finding aid | | |
| Label boxes | | | | YYYY/MM/DD |
| Shelve collection and write locations on boxes | | | | YYYY/MM/DD |
| Update Stacks Locator | | | | YYYY/MM/DD |
| Export new or revised EAD finding aid, clean it up, and upload to OAC | | | | YYYY/MM/DD |
| Upload nonstandard finding aid to OAC as a supplemental PDF (if needed) | | | | YYYY/MM/DD |
| Export finding aid pdf and file in in V:\ms-as_collections\Finding Aid pdfs | | | | YYYY/MM/DD |
| File new or revised finding aid in reading room (only reprint revised finding aids if changes are significant. Consult the archivist if needed.) | | | | YYYY/MM/DD |
| Export MARC and save in V:\Tech Services and Cataloging\AT READY FOR UPLOAD | | | | YYYY/MM/DD |
| Email notification sent to cataloger | | | | YYYY/MM/DD |
| MARC record for ANTPAC created or updated | | | | YYYY/MM/DD |

| | |
|---|---|
| Checkbox for “Cataloged” ticked | YYYY/MM/DD |
| Cataloged Date entered | YYYY/MM/DD |
| Send email out to SCA with links to OAC finding aid and ANTPAC record | YYYY/MM/DD |
| Print accession record report and file (create electronic and paper collection files if needed) | YYYY/MM/DD |
| Accessioning checklist printed and filed in paper collection file | YYYY/MM/DD |
| Notes: | |